

PATENT APPLICATION

Atty. Docket No.: 6647-15
Applicant: Stephen R. Carter and Delos C. Jensen
Filing Date: September 5, 2000

Serial No. 09/653,713
Group: 2152



SUPPLEMENTAL INFORMATION DISCLOSURE CITATION
FORM PTO-1449 (Modified)

U.S. PATENT DOCUMENTS

Exam Init	Ref	Document Number	Issue Date	Name	Class	Sub- Class
LS	_____	6,009,418	12/28/1999	Cooper	706	15
LS	_____	6,173,261 B1	1/09/2001	Arai, et al.	704	257
LS	_____	6,289,353 B1	9/11/2001	Hazelhurst, et al.	707	15

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JUN 30 2004

Technology Center 2100

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Document Number	Publication Date	Country
_____	_____	_____

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Exam Init	Ref	(Including Author, Title, Date, Pertinent Pages, Etc.)
LS	_____	Brian T. Bartell, Garrison W. Cottrell and Richard K. Belew, "Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling," Department of Computer Science & Engineering-0114, University of California, 7 pages.

Examiner: Z. J. Spur

Date Considered: 8/25/04

ATTACHMENT TO PAPER #4

PTO FORM 4/92		MPEP 609		ATTY. DOCKET 0971-084		SERIAL NO. 09109,804 L509/653,713
FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APR 18 2001 TRADEMARKS & TRADE NAMES	APPLICANT Carter, et al.	FILING DATE July 2, 1998 DEC 07 1998	GROUP 2741-2747	
Exam. Init.		DOCUMENT NUMBER	DATE	NAME RECEIVED	CLASS	SUB CLASS
			APP 18 2001	RECEIVED		
				Technology Center 2100	DEC 09 1998	
						Group 2700
FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS
OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)						
J.T.	C1	<i>Applications of Functional Analysis and Operator Theory</i> , V. Hutson, J. S. Pym, 1980, table of contents, preface and index				
J.T.	C2	<i>Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling</i> , Brian T. Bartell, Garrison W. Cottrell, Richard K. Belew, Pages 161-167, 1992; ACM 0-89791-524-0				
J.T.	C3	<i>Improving Relevance Feedback in the Vector Space Model</i> , Carol Lundquist, David A. Grossman, Ophir Frieder, 1997, Pages 16-23; ACM 0-89791-970-X				
J.T.	C4	<i>A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation</i> , J. Mostafa, S. Mukhopadhyay, W. Lam, M. Palakal, ACM Transactions on Information Systems, Vol. 15, No. 4, October 1997, Pages 368-399				
J.T.	C5	<i>Capturing the State of Distributed Systems with XML</i> , Rohit Khare and Adam Rifkin, 10/26/97, Pages 1-12				
J.T.	C6	<i>Semantic Information Retrieval</i> , Annelise Mark Pejtersen, Pages 90-92, Communications of the ACM, April 1998/Vol 41. No. 4				
J.T.	C7	<i>Unifying Heterogeneous Information Models</i> , Narinder Singh, Pages 37-44, Communications of the ACM, May 1998/Vol. 41, No. 5				
J.T.	C8	<i>Platform for Internet Content Selection (PICS)</i> , 1/3/98, http://www.w3.org/pics/				
J.T.	C9	<i>Intelligent Collaboration & Visualization</i> , Pages 1-16				

EXAMINER DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

JOSEPH THOMAS

12/3/99

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231, this 3rd day of December, 1998.

PATENT APPLICATION

Atty. Docket No.: 6647-3

Applicant: Delos C. Jensen and Stephen R. Carter
Filing Date: February 25, 2000

Serial No. 09/512,963 D9/653,713 LS
Group: 2741

INFORMATION DISCLOSURE CITATION
FORM PTO-1449 (Modified)

U.S. PATENT DOCUMENTS

<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub-Class</u>
LS	—	5,867,799	2-02-99	Lang, et al.	707	1

FOREIGN PATENT DOCUMENTS

<u>Document Number</u>	<u>Publication Date</u>	<u>Country</u>	<u>Name</u>
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OTHER DOCUMENTS

<u>Exam Init</u>	<u>Ref</u>	<u>(Including Author, Title, Date, Pertinent Pages, Etc.)</u>
LS	—	Noam Chomsky, "Language and Thought," 1993, pages 18-19, 22-27, 44-45, 60-61.
LS	—	Jonathan Culler, "Ferdinand de Saussure - Revised Edition," 1986, pages 38-57.
LS	—	Umberto Eco, Marco Santambrogio and Patrizia Violi (Editors), "Meaning and Mental Representations," 1988, page 221.
LS	—	Donald W. Kahn, "Topology - An Introduction to the Point-Set and Algebraic Areas," 1975, pages 10-15.
LS	—	Paul R. Halmos, "Naïve Set Theory," 1960, pages 56-57, 66-69.
LS	—	John G. Hocking and Gail S. Young, "Topology," 1961, pages 6-7, 56-59, 68-71.
LS	—	Umberto Eco, "Semiotics and the Philosophy of Language," 1984, pages 46-87.
LS	—	Noam Chomsky, "The Minimalist Program," 1995, pages 13-65.
LS	—	R. E. Edwards, "Functional Analysis - Theory and Applications," 1965, pages 10-13, 32-33, 50-53, 62-65, 88-103, 174-203, 224-233.

PATENT APPLICATION

Atty. Docket No.: 6647-3

Applicant: Delos C. Jensen and Stephen R. Carter

Filing Date: February 25, 2000

Serial No. 09/512,963

09/653,713

Group: 2741

LS

LS

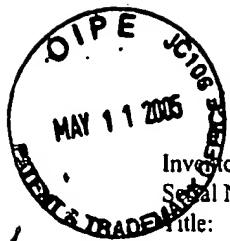
Cognitive Science Laboratory at Princeton University, "WordNet - A Lexical Database
for English," printed February 10, 2000, selected pages from website.

Examiner:

Land Sponn

Date Considered: 9/23/04

PATENT APPLICATION



Investor(s):
Serial No.:
Title:

Stephen R. Carter et al.

09/653,713

Filing Date: September 5, 2000

INTENTIONAL-STANCE CHARACTERIZATION OF A GENERAL CONTENT STREAM OF
REPOSITORY

INFORMATION DISCLOSURE CITATION
FORM PTO-1449 (Modified)

U.S. PATENT DOCUMENTS

Exam <u>Init</u>	<u>Ref</u>	Document <u>Number</u>	Issue <u>Date</u>	Name	<u>Class</u>	<u>Sub Class</u>
LS	_____	6,105,044	08/15/2000	De Rose et al.		
LS	_____	6,297,824 B1	10/02/2001	Hearst et al.		
LS	_____	6,295,533 B2	09/25/2001	Cohen		
LS	_____	5,832,470	11/03/1998	Morita et al.		

FOREIGN PATENT DOCUMENTS

Exam <u>Init</u>	<u>Ref</u>	Document <u>Number</u>	Publication <u>Date</u>	<u>Country</u>	<u>Name</u>
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OTHER DOCUMENTS

Exam <u>Init</u>	<u>Ref</u>	<u>Author, Title, Date, Pertinent Pages, Etc.</u>

Examiner: Zach Rosen

Date Considered: 9/25/05

PATENT APPLICATION

Inventor(s): Stephen R. CARTER; Delos C. JENSEN

Serial No.: 09/653,713

Examiner: Lamont M. SPOONER

Filing Date: September 5, 2000

Group Art Unit: 2654

Title: A METHOD AND MECHANISM FOR THE CREATION, MAINTENANCE, AND COMPARISON OF SEMANTIC ABSTRACTS

INFORMATION DISCLOSURE STATEMENT

PTO-1449

U.S. PATENT DOCUMENTS

Exam Init	Ref	Document Number	Issue Date	Name	Class	Sub Class
LS		5,276,677	1/04/94	Ramamurthy et al.	370	60
↑		5,317,507	5/31/94	Gallant	364	419.13
		5,325,298	6/28/94	Gallant	364	419.19
		5,539,841	7/23/96	Huttenlocher et al.	382	218
		5,551,049	8/27/96	Kaplan et al.	707	532
		5,619,709	4/08/97	Caid et al.	395	794
		5,675,819	10/07/97	Schuetze	704	10
		5,694,523	12/02/97	Wical	395	12
		5,696,962	12/09/97	Kupiec	395	604
		5,708,825	1/13/98	Sotomayor	395	762
		5,721,897	2/24/98	Rubinstein	707	2
		5,778,362	7/07/98	Deerwester	707	5
		5,778,378	7/07/98	Rubin	707	103
		5,778,397	7/07/98	Kupiec et al.	707	500
		5,794,178	8/11/98	Caid et al.	704	9
		5,799,276	8/25/98	Komissarchik et al.	704	251
		5,822,731	10/13/98	Schultz	704	256
		5,867,799	2/02/99	Lang et al.	707	1
		5,873,056	2/16/99	Liddy et al.	704	9
		5,934,910	8/10/99	Ho et al.	434	362
		5,940,821	8/17/99	Wical	707	3
		5,963,965	10/05/99	Vogel	707	501.1
		5,966,686	10/12/99	Heidorn et al.	704	9
		5,970,490	10/19/99	Morgenstern	707	10
		5,974,412	10/26/99	Hazlehurst et al.	707	3
		5,991,713	11/23/99	Unger et al.	704	9
		6,009,418	12/28/99	Cooper	706	15
		6,078,953	6/20/00	Vaid et al.	709	223
		6,108,619	8/22/00	Carter et al.	704	9
		6,173,261	1/09/01	Arai et al.	704	257
		6,205,456	3/20/01	Nakao	707	531
		6,289,353	9/11/01	Hazelhurst et al.	707	102
		6,311,194	10/30/01	Sheth et al	707	505
✓		6,317,708	11/13/01	Witbrock et al.	704	9
✓		6,317,709	11/13/01	Witbrock et al.	704	225
15		6,356,864	3/12/02	Foltz et al.	704	1

<i>LS</i>	6,459,809	10/01/02	Jensen et al.	382	203
↑	6,470,307	10/22/02	Turney	704	9
	6,523,026	2/18/03	Gillis	707	3
	6,513,031	1/28/03	Fries et al.	707	3
↓	6,615,208	9/02/03	Behrens et al.	707	5
<i>LS</i>	6,675,159	1/06/04	Lin et al.	707	3

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<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Country</u>	<u>Name</u>

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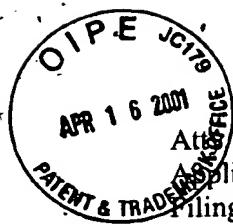
<u>Exam Init</u>	<u>Ref</u>	<u>Author, Title, Date, Pertinent Pages, Etc.)</u>
<i>LS</i>		Bartell, et al., <u>"Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling."</u> Dept. of Computer Science & Engineering, University of California, San Diego, 1992, 7 pages.
↑		Chomsky, <u>"Language and Thought,"</u> 1993, pgs. 18-19, 22-27, 44-45, 60-61.
		Chomsky, <u>"The Minimalist Program,"</u> 1995, pgs. 13-65.
		Cook et al., <u>"Chomsky's Universal Grammar – An Introduction,"</u> 1988, pgs. 40-74, 131-272.
		Culler, <u>"Ferdinand de Saussure – Revised Edition,"</u> 1986 pgs. 38-57
		Eco et al., <u>"Meaning and Mental Representations,"</u> 1988, pg. 221.
		Eco, <u>"Semiotics and the Philosophy of Language,"</u> 1984, pg. 46-86.
		Edwards, <u>"Functional Analysis; theory and applications,"</u> 1965, pgs. 10-13, 32-33, 50-53, 62-65, 88-103, 174-203, 224-233.
		Halmos, <u>"Naïve Set Theory,"</u> Undergraduate Texts in Mathematics, 1968, pgs. 56-57, 66-69.
		Hocking, <u>"Topology,"</u> 1961, pgs. 6-7, 56-59, 68-71.
		Hutson, <u>"Applications of Functional Analysis and Operator Theory,"</u> 1980, index, preface, and Table of Contents.
		Kahn, <u>"Topology: An Introduction to the Point-Set and Algebraic Areas,"</u> 1975, pgs. 10-15.
		Khare et al., <u>"Capturing the State of Distributed Systems with XML,"</u> 10/26/97, pgs. 1-12.
		Lundquist et al., <u>"Improving Relevance Feedback in the Vector Space Model,"</u> 1997, pgs 16-23.
		Mostafa et al., <u>"A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation,"</u> ACM Transactions on Information Systems, Vol. 15, No. 4, 10/97, pgs. 368-399.
		Pesetsky, <u>"Zero Syntax: experiencers and cascades,"</u> 1995, pgs. 1-122.
		Pejtersen, <u>"Semantic Information Retrieval,"</u> Communications of the ACM, Vol. 41, No. 5, 4/98, pgs. 90-92.
		<u>"Platform for Internet Content Selection (PICS),"</u> http://www.w3.org , pgs. 1-8.
		Singh, <u>"Unifying Heterogeneous Information Models,"</u> Tesserae Information Systems, Inc., http://citeseer.ist.psu.edu.com , pgs. 1-13
↓		Smith, <u>"Computers and human language,"</u> 1991, pgs. 205-257.
<i>LS</i>		<u>"WordNet – a lexical database for the English language,"</u> Cognitive Science Laboratory, Princeton University, www.cogsci.princeton.edu , 2 pgs.

Examiner: *Z. Stojanov*

Date Considered: *8/25/05*

Serial No.: 09/653,713

PATENT APPLICATION



Attn: Docket No.: 6647-15

Serial No.

09/653,713

Applicant: Stephen R. Carter and Delos C. Jensen

Group Art Unit:

Not yet assigned

Filing Date: September 5, 2000

**INFORMATION DISCLOSURE CITATION
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LS	—	5,317,507	5/1994	Gallant	707	532
LS	—	5,325,298	6/1994	Gallant	704	9
LS	—	5,551,049	8/27/96	Kaplan, et al.	707	532
LS	—	5,675,819	10/7/97	Schuetze	704	10
LS	—	5,694,523	12/1997	Wical	706	45
LS	—	5,721,897	2/24/98	Rubinstein	707	2
LS	—	5,778,378	7/7/98	Rubin	707	103
LS	—	5,822,731	10/13/98	Schultz	704	256
LS	—	5,867,799	2/02/99	Lang, et al.	707	1
LS	—	5,940,821	8/1999	Wical	707	3
LS	—	5,966,686	10/12/99	Heidorn, et al.	704	9
LS	—	5,970,490	10/1999	Morgenstern	707	10
VS	—	5,974,412	10/26/99	Hazlehurst, et al.	707	3
LS	—	5,991,713	11/23/99	Unger, et al.	704	9

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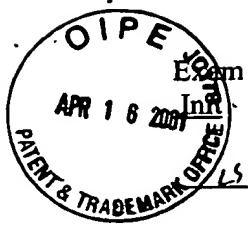
<u>Document Number</u>	<u>Publication Date</u>	<u>Country</u>	<u>Name</u>
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<u>13</u>	Noam Chomsky, "Language and Thought," 1993, pages 18-19, 22-27, 44-45, 60-61.
<u>14</u>	Jonathan Culler, "Ferdinand de Saussure - Revised Edition," 1986, pages 38-57.
<u>15</u>	Umberto Eco, Marco Santambrogio and Patrizia Violi (Editors), "Meaning and Mental Representations," 1988, page 221.
<u>16</u>	Donald W. Kahn, "Topology - An Introduction to the Point-Set and Algebraic Areas," 1975, pages 10-15.
<u>17</u>	Paul R. Halmos, "Naïve Set Theory," 1960, pages 56-57, 66-69.
<u>18</u>	John G. Hocking and Gail S. Young, "Topology," 1961, pages 6-7, 56-59, 68-71.
<u>19</u>	Umberto Eco, "Semiotics and the Philosophy of Language," 1984, pages 46-87.
<u>20</u>	Noam Chomsky, "The Minimalist Program," 1995, pages 13-65.
<u>21</u>	R. E. Edwards, "Functional Analysis - Theory and Applications," 1965, pages 10-13, 32-33, 50-53, 62-65, 88-103, 174-203, 224-233.
<u>22</u>	<i>Applications of Functional Analysis and Operator Theory</i> , V. Hutson, J.S. Pym, 1980, table of contents, preface and index
<u>23</u>	Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling, Brian T. Bartell, Garrison W. Cottrell, Richard K. Belew, Pages 161-167, 1992; ACM 0-89791-524-0
<u>24</u>	Improving Relevance Feedback in the Vector Space Model, Carol Lundquist, David A. Grossman, Ophir Frieder, 1997, Pages 16-23; ACM 0-89791-970-X
<u>25</u>	A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation, J. Mostafa, S. Mukhopadhyay, W. Lam, M. Palakal, ACM Transactions On Information Systems, Vol. 15, No. 4, October 1997, Pages 368-399
<u>26</u>	Capturing the State of Distributed Systems with XML, Rohit Khare and Adam Riskin, 10/26/97, Pages 1-12
<u>27</u>	Semantic Information Retrieval, Annelise Mark Pejtersen, Pages 90-92, Communications of the ACM, April 1998/Vol. 41, No. 5
<u>28</u>	Unifying Heterogeneous Information Models, Narinder Singh, Pages 37-44, Communications of the ACM, May 1998/Vol. 41, No. 5



- Ref (Including Author, Title, Date, Pertinent Pages, Etc.)
- Platform for Internet Content Selection (PICS), 1/3/98,
<http://www.w3.org/pics/>
- 15 — Intelligent Collaboration & Visualization, Pages 1-16
- 15 — Cognitive Science Laboratory at Princeton University,
"WordNet – A Lexical Database for English," printed
February 10, 2000, selected pages from website
- 15 — George W. Smith, "Computers and Human Language," 1991,
pages 204-257
- 15 — Vivian Cook and Mark Newson, "Chomsky's Universal
Grammar – An Introduction," 1988, pages 40-74, 131-272
- 15 — David Pesetsky, "Zero Syntax Experiencers and Cascades," 1995,
pages 1-122
- 15 — Platform for Internet Content Selection (PICS), 1/3/98,
<http://www.w3.org/pics/>
- 15 — Intelligent Collaboration & Visualization, Pages 1-16

Examiner: James S. Spoor

Date Considered: 07/23/04



PATENT APPLICATION

Atty. Docket No.: 6647-13
Applicant: Stephen R. Carter, Delos C. Jensen and Ronald P. Millett

INFORMATION DISCLOSURE CITATION
FORM PTO-1449 (Modified)U.S. PATENT DOCUMENTS

<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub- Class</u>

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<u>Exam Init</u>	<u>Ref</u>	<u>(Including Author, Title, Date, Pertinent Pages, Etc.)</u>
LS		George W. Smith, "Computers and Human Language," 1991, pages 204-257.
LS		Vivian Cook and Mark Newson, "Chomsky's Universal Grammar - An Introduction," 1988, pages 40-74, 131-272.
LS		Noam Chomsky, "The Minimalist Program," 1995, pages 13-127.
LS		David Pesetsky, "Zero Syntax Experiencers and Cascades," 1995, pages 1-122.

Examiner: Lit Spoor

Date Considered: 9/23/04

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PATENT APPLICATION

Atty. Docket No.: 6647-15

Serial No. 09/653,713

Applicant: Stephen R. Carter and Delos C. Jensen

Filing Date: September 5, 2000

Group: 2152

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SUPPLEMENTAL INFORMATION DISCLOSURE CITATION
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U.S. PATENT DOCUMENTS

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LS		6,311,194 B1	10/30/01	Sheth, et al.	707	505

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OTHER DOCUMENTS

<u>Exam</u>	<u>Ref</u>	<u>(Including Author, Title, Date, Pertinent Pages, Etc.)</u>

Examiner: Almon Springer

Date Considered: 9/23/04

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LS		6,311,194 B1	10/30/01	Sheth, et al.	707	505

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<u>Exam Init</u>	<u>Ref</u>	<u>(Including Author, Title, Date, Pertinent Pages, Etc.)</u>

Examiner: James P. Spiner

Date Considered: 9/23/04



- Ref (Including Author, Title, Date, Pertinent Pages, Etc.)
- 15 Platform for Internet Content Selection (PICS), 1/3/98,
http://www.w3.org/pics/
- 15 Intelligent Collaboration & Visualization, Pages 1-16
- 15 Cognitive Science Laboratory at Princeton University,
"WordNet – A Lexical Database for English," printed
February 10, 2000, selected pages from website
- 15 George W. Smith, "Computers and Human Language," 1991,
pages 204-257
- 15 Vivian Cook and Mark Newson, "Chomsky's Universal
Grammar – An Introduction," 1988, pages 40-74, 131-272
- 15 David Pesetsky, "Zero Syntax Experiencers and Cascades," 1995,
pages 1-122
- 15 Platform for Internet Content Selection (PICS), 1/3/98,
http://www.w3.org/pics/
- 15 Intelligent Collaboration & Visualization, Pages 1-16

Examiner: Jeanne Spero

Date Considered: 07/23/04



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- | <u>Ref</u> | <u>(Including Author, Title, Date, Pertinent Pages, Etc.)</u> |
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| <u>15</u> | Noam Chomsky, "Language and Thought," 1993, pages 18-19, 22-27, 44-45, 60-61. |
| <u>15</u> | Jonathan Culler, "Ferdinand de Saussure - Revised Edition," 1986, pages 38-57. |
| <u>15</u> | Umberto Eco, Marco Santambrogio and Patrizia Violi (Editors), "Meaning and Mental Representations," 1988, page 221. |
| <u>15</u> | Donald W. Kahn, "Topology - An Introduction to the Point-Set and Algebraic Areas," 1975, pages 10-15. |
| <u>15</u> | Paul R. Halmos, "Naïve Set Theory," 1960, pages 56-57, 66-69. |
| <u>15</u> | John G. Hocking and Gail S. Young, "Topology," 1961, pages 6-7, 56-59, 68-71. |
| <u>15</u> | Umberto Eco, "Semiotics and the Philosophy of Language," 1984, pages 46-87. |
| <u>15</u> | Noam Chomsky, "The Minimalist Program," 1995, pages 13-65. |
| <u>15</u> | R. E. Edwards, "Functional Analysis - Theory and Applications," 1965, pages 10-13, 32-33, 50-53, 62-65, 88-103, 174-203, 224-233. |
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PATENT APPLICATION

Attn Docket No.: 6647-15

Serial No.

09/653,713

Applicant: Stephen R. Carter and Delos C. Jensen

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LS		<u>5,317,507</u>	<u>5/1994</u>	<u>Gallant</u>	<u>707</u>	<u>532</u>
LS		<u>5,325,298</u>	<u>6/1994</u>	<u>Gallant</u>	<u>704</u>	<u>9</u>
LS		<u>5,551,049</u>	<u>8/27/96</u>	<u>Kaplan, et al.</u>	<u>707</u>	<u>532</u>
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LS		<u>5,721,897</u>	<u>2/24/98</u>	<u>Rubinstein</u>	<u>707</u>	<u>2</u>
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LS		<u>5,867,799</u>	<u>2/02/99</u>	<u>Lang, et al.</u>	<u>707</u>	<u>1</u>
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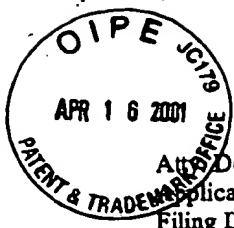
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Examiner: Z. J. Spa

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